

Form PTO-1449 (modified)

Atty. Docket No.

UTSC:664

Serial No.

09/599,152

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

David Yang, Chun-Wei Liu, Dong-Fang Yu and E.  
Edmund Kim

Filing Date:

June 21, 2000

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## U.S. Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Name	Class	Sub Class	Filing Date of App.
25	A14	2001/0034363	10/25/01	Li <i>et al.</i>	514	449	3/30/98
	A15	2001/0041189	11/15/01	Xu	424	488	4/13/99
	A16	4,418,068	11/29/83	Jones	424	267	12/16/81
	A17	4,507,466	3/26/85	Tomalia <i>et al.</i>	528	332	1/07/83
	A18	4,558,120	12/10/85	Tomalia <i>et al.</i>	528	363	12/27/83
	A19	4,568,737	2/04/86	Tomalia <i>et al.</i>	528	332	8/17/84
	A20	4,587,329	5/06/86	Tomalia <i>et al.</i>	528	363	7/19/85
	A21	4,631,337	12/23/86	Tomalia <i>et al.</i>	528	391	7/115/85
	A22	4,694,064	9/15/87	Tomalia <i>et al.</i>	528	332	2/28/86
	A23	4,713,975	12/22/87	Tomalia <i>et al.</i>	73	864.8	5/30/86
	A24	4,732,863	3/22/88	Tomasi <i>et al.</i>	436	547	12/31/84
	A25	4,737,550	4/12/88	Tomalia	525	419	12/08/86
	A26	4,857,599	8/15/89	Tomalia <i>et al.</i>	525	259	2/08/88
	A27	4,871,779	10/03/89	Killat <i>et al.</i>	521	28	12/23/85
	A28	5,087,616	2/11/92	Myers <i>et al.</i>	514	21	8/06/87
	A29	5,164,294	11/17/92	Skold <i>et al.</i>	435	7.5	7/07/89
	A30	5,412,072	5/02/95	Sakurai <i>et al.</i>	530	322	3/21/90
	A31	5,534,241	7/09/96	Torchilin <i>et al.</i>	424	9.321	7/23/93
	A32	5,605,671	2/25/97	Lyle <i>et al.</i>	424	1.41	4/29/94
	A33	5,635,603	6/03/97	Hansen <i>et al.</i>	530	391.5	12/05/94
	A34	5,670,132	9/23/97	Griffiths <i>et al.</i>	424	1.11	9/20/94
	A35	5,830,431	11/03/98	Srinivasan <i>et al.</i>	424	1.69	6/07/95
	A36	5,908,777	6/01/99	Lee <i>et al.</i>	435	320.1	3/23/95

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EXAMINER:

R Jones

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	A37	5,977,163	11/02/99	Li <i>et al.</i>	514	449	3/11/97
	A38	6,071,533	6/06/00	Papahadjopoulos <i>et al.</i>	424	450	11/17/95
	A39	6,083,741	7/04/00	Hart <i>et al.</i>	435	320.1	11/17/95
	A40	6,113,946	9/05/00	Szoka, Jr. <i>et al.</i>	424	486	6/06/95
	A41	6,251,866	6/26/01	Prakash <i>et al.</i>	514	17	8/04/98
	A42	6,262,107	7/17/01	Li <i>et al.</i>	514	449	7/01/99
	A43	5,517,993	5/21/96	Unger and Wu	128	653.4	6/07/95

## Foreign Patent Documents

Exam. Init.	Ref. Des.	Document Number	Date	Country	Class	Sub Class	Translation Yes/No
	B1 ✓	WO 95/28966	11/02/95	PCT	—	—	
	B2 ✓	WO 97/33552	9/18/97	PCT			
	B3 ✓	WO 99/39748	8/12/99	PCT			
	B4 ✓	WO 99/49901	10/07/99	PCT			
	B5 ✓	WO 99/61512	12/02/99	PCT			
	B6 ✓	WO 00/53233	9/14/00	PCT			
	B7 ✓	WO 00/61788	10/19/00	PCT			

## Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

Exam. Init.	Ref. Des.	Citation
	C147 ✓	Anderson <i>et al.</i> , "Radiometal-labeled agents (non-technetium) for diagnostic imaging," <i>Chem. Rev.</i> , 99:2219-2234, 1999.
	C148 ✓	Antony, "Folate receptors," <i>Ann. Rev.</i> , 16:501-521, 1996.

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Exam. Init.	Ref. Des.	Citation
	C149 ✓	Aoi <i>et al.</i> , "Globular carbohydrate macromolecule 'sugar balls' 3. 'radical-growth polymerization' of sugar-substituted $\alpha$ -amino acid N-carboxyanhydrides (glycoNCAs) with a dendritic initiator," <i>Tetrahedron, Elsevier Science Publishers</i> , 53(45):15415-15427, 1997.
	✓C150	Bajorin <i>et al.</i> , <i>Proc. Annu. Meet. Am. Soc. Clin. Oncol.</i> , 7:250, A967, 1988.
	C151 ✓	Baselga <i>et al.</i> , "Phase I studies of anti-epidermal growth factor receptor cheimeric antibody C225 alone and in combination with cisplatin," <i>J. Clinical Oncology</i> , 18(4):904-914, 2000.
	C152 ✓	Baselga <i>et al.</i> , "Recombinant humanized anti-HER2 antibody (herceptin) enhances the antitumor activity of paclitaxel and doxorubicin against HER2/new overexpressing human breast cancer xenografts," <i>Cancer Research</i> , 58:2825-2831, 1998.
	C153 ✓	Benns <i>et al.</i> , "Tailoring new gene delivery designs for specific targets," <i>Journal of Drug Targeting</i> , 8(1), Database Medline on STN International, Accession No. 2000222278, 2 pages, 2000.
	✓C154	Blackenberg <i>et al.</i> , "Apoptosis: the importance of nuclear medicine," <i>Nucl. Med. Comm.</i> , 21:241-250, 2000.
	✓C155	Blackenberg <i>et al.</i> , "In vivo detection and imaging of phosphatidylserine expression during programmed cell death," <i>Proc. Natl. Acad. Sci., USA</i> , 95:6349-6354, 1998.
	✓C156	Blair <i>et al.</i> , "Linkage of cytotoxin agents to immunoglobulins," <i>Journal of Immunological Methods</i> , 59:129-143, 1983..
	✓C157	Block, "Poly(g-benzyl-L-glutamate) and other glutamic acid containing polymers," Gordon and Breach Science Publishers, New York, 11-31, 1983.
	✓C158	Bohdiewicz <i>et al.</i> , "Indium-111 satumomab pendetide: the first FDA-approved monoclonal antibody for tumor imaging," <i>J. Nuclear Medicine Technology</i> , 26(3):155-163, 1998.
	✓C159	Brechbiel <i>et al.</i> , "Synthesis of 1 (P-isothiocyanatobenzyl) derivatives of DTPA and EDTA: antibody labeling and tumor-imaging studies," <i>Inorg. Chem.</i> , 25:2772-2781, 1986.
	✓C160	Brogi <i>et al.</i> , "Hypoxia-induced paracrine regulation of vascular endothelial growth factor receptor expression," <i>J. Clin. Invest.</i> , 97(2):469-476, 1996.
	✓C161	Brox <i>et al.</i> , "Designing peptide-based scaffolds as drug delivery vehicles," <i>Science</i> , 78(1-3):115-123, 2002.

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10	✓ C162	Budihardjo <i>et al.</i> , "Biochemical pathways of caspase activation during apoptosis," <i>Annu. Rev. Cell Dev. Biol.</i> , 15:269-290, 1999.
	✓ C163	Burgen, "Targets of drug action," <i>Ann. Rev. Pharmacol. Toxicol.</i> , 40:1-16, 2000.
	✓ C164	Chapman <i>et al.</i> , "Therapeutic antibody fragments with prolonged in vivo half-lives," <i>Nature Biotech.</i> , 17:780-783, 1999.
	✓ C165	Collier <i>et al.</i> , "Immunoscintigraphy performed with In-111-labeled CYT-103 in the management of colorectal cancer: comparison with CT," <i>Radiology</i> , 185:179-186, 1992.
	✓ C166	Culver <i>et al.</i> , "In vivo gene transfer with retroviral vector-producer cells for treatment of experimental brain tumors," <i>Science</i> , 256:1550-1552, 1992.
	✓ C167	Deguchi <i>et al.</i> , "Retention of biologic activity of human epidermal growth factor following conjugation to a blood-brain barrier drug delivery vector via an extended poly(ethylene glycol) linker," <i>Bioconjugate Chem.</i> , 10:32-37, 1999.
	✓ C168	DeNardo <i>et al.</i> , "Pharmacokinetics of chimeric L6 conjugated to indium 111- and yttrium-90-DOTA-peptide in tumor-bearing mice," <i>J. Nuclear Medicine</i> , 36:829-836, 1995.
	✓ C169	DeNardo <i>et al.</i> , "Yttrium-90/indium-111-DOTA-peptide-chimeric L6: Pharmacokinetics, dosimetry and initial results in patients with incurable breast cancer," <i>Anticancer Research</i> , 17(3B):1735-1744, 1997.
	✓ C170	Deutsch <i>et al.</i> , "Synthesis of congeners and prodrugs, water-soluble prodrugs of taxol with potent antitumor activity," <i>J. Med. Chem.</i> , 32:788-792, 1989.
	✓ C171	Divgi <i>et al.</i> , "Phase I and imaging trial of indium 111-labeled anti-epidermal growth factor receptor monoclonal antibody 225 in patients with squamous cell lung carcinoma," <i>J. National Cancer Institute</i> , 83(2):97-104, 1991.
	✓ C172	Drobnik <i>et al.</i> , "Soluble synthetic polymers in biological systems," <i>Adv. Polym. Sci.</i> , 57:1-50, 1984.
	✓ C173	Dunn <i>et al.</i> , "Receptor-mediated endocytosis of epidermal growth factor by hepatocytes in the perfused rat liver: ligand and receptor dynamics," <i>J. Cell Biol.</i> , 98:2148-2159, 1984.
	✓ C174	Eary <i>et al.</i> , "Radiochemistry of halogenated antibodies," <i>Antibodies in Radiodiagnosis and Therapy</i> , Boca Ratan, Florida, CPC Press, 83-100, 1988.

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✓	C175	Eiseman <i>et al.</i> , "Plasma pharmacokinetics and tissue distribution of paclitaxel in CD2F1 mice," <i>Cancer Chemother. Pharmacol.</i> , 34:465-471, 1994.
✓	C176	Ennis <i>et al.</i> , "Anti-epidermal growth factor receptor antibodies inhibit the autocrine-stimulated growth of MDA-468 human breast cancer cells," <i>Mol. Endocrinology</i> , 3(11):1830-1838, 1989.
✓	C177	Ethier, "Growth factor synthesis and human breast cancer progression," <i>J. Natl. Cancer Inst.</i> , 87(13):964-973, 1995.
✓	C178	Fan <i>et al.</i> , "Antitumor effect of anti-epidermal growth factor receptor monoclonal antibodies plus cis-diamminedichloroplatinum on well established A431 cell xenografts," <i>Cancer Research</i> , 53:4637-4642, 1993.
✓	C179	Fan <i>et al.</i> , "Blockade of epidermal growth factor receptor function by bivalent and monovalent fragments of 225 anti-epidermal growth factor receptor monoclonal antibodies," <i>Cancer Research</i> , 53:4322-4328, 1993.
✓	C180	Fang <i>et al.</i> , "Involvement of p21 Waf1 in mediating inhibition of paclitaxel-induced apoptosis by epidermal growth factor in MDA-MB-468 human breast cancer cells," <i>Anticancer Research</i> , 20(1A):103-112, 2000.
✓	C181	Fidler <i>et al.</i> , "The biology of cancer invasion and metastasis," <i>Adv. Cancer Res.</i> , 28:149-250, 1987.
✓	C182	Foa <i>et al.</i> , "Taxol (paclitaxel): a novel anti-microtubule agent with remarkable anti-neoplastic activity," <i>J. Clin. Lab. Res.</i> , 24:6-14, 1994.
✓	C183	Frankel <i>et al.</i> , "Targeted toxins," <i>Clin. Cancer Res.</i> , 6:326-334, 2000.
✓	C184	Fuertges <i>et al.</i> , "The clinical efficacy of poly(ethylene glycol)-modified proteins," <i>J. Controlled Release</i> , 11:139-148, 1990.
✓	C185	Fuller <i>et al.</i> , "A procedure for the facile synthesis of amino-acid N-carboxyanhydride," <i>Biopolymers</i> , 15:1869, 1976.
✓	C186	Gabizon, "Selective tumor localization and improved therapeutic index of anthracyclines encapsulated in long-circulating liposomes," <i>Cancer Research</i> , 52:891-896, 1992.
✓	C187	Garipey <i>et al.</i> , "Vectorial delivery of macromolecules into cells using peptide-based vehicles," <i>Trends in Biotechnology</i> , 19(1):21-28, 2001.

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✓	C188	Girard, "Mechanisms by which carbohydrates regulate expression genes for glycolytic and lipogenic enzymes," <i>Ann. Rev. Nutr.</i> , 17:325-352, 1997.
✓	C189	Goldenberg <i>et al.</i> , "Imaging of human tumor xenografts with and indim-111-labeled anti-epidermal growth factor receptor monoclonal antibody," <i>J. National Cancer Institute</i> , 81:1616-1625, 1989.
✓	C190	Goldenberg, "Monoclonal antibodies in cancer detection and therapy," <i>Am. J. Med.</i> , 94:297-312, 1993.
✓	C191	Goldspeil, "Pharmaceutical issues: preparation, administration, stability, and compatibility owth other medications," <i>Ann. Pharcother.</i> , 28:S23-S26, 1994.
✓	C192	Gonda, "Aerosols for delivery of therapeutic and diagnostic agents to the respiratory tract," <i>Critical Reviews in Therapeutic Drug Carrier Systems</i> , 6(4):273-313, 1990.
✓	C193	Greenfield <i>et al.</i> , "In vitro evaluation of immunoconjugates prepared by linking mitomycin C to monoclonal antibodies via polyglutamic acid carriers," <i>Antibody, Immunoconjugates, and Radiopharmaceuticals</i> , 2(3):201-216, 1989.
✓	C194	Greenwald <i>et al.</i> , "Drug delivery systems: water soluble tazol 2'-poly(ethylene glycol) ester prodrugs-design and in vivo effectiveness," <i>J. Med. Chem.</i> , 39:424-431, 1996.
✓	C195	Halpern <i>et al.</i> , "Stability, characterization, and kinetics of In-labeled monoclonal antitumor antibodies in normal animals and nude mouse human tumor models," <i>Cancer Research</i> , 43:5347-5355, 1983.
✓	C196	Hermanson, "Amine detection reagents," <i>Bioconjugate Techniques</i> , San Diego, Academic Press, 112-114, 1996.
✓	C197	Hermanson, "Ellman's assay for the determination of sulfhydryls," <i>Bioconjugate Techniques</i> , Sand Diego, Academic Press, 88-90, 1996.
✓	C198	Hnatowich <i>et al.</i> , "Radioactive labeling of antibody: a simple and efficient method," <i>Science</i> , 220:613-615, 1983.
✓	C199	Hoes <i>et al.</i> , "Optimization of macromolecular prodrugs of the antitumor antibiotic adriamycin," <i>J. Controlled Release</i> , 2:205-213, 1985.

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20	C200 ✓	Holmes <i>et al.</i> , "Current status of clinical trials with paclitaxel and docetaxel, taxane anticancer agents: basic science and current status," <i>American Chemical Society</i> , Washington, DC, 31-57, 1995.
	C201 ✓	Hudecz <i>et al.</i> , "Influence of carrier on biodistribution and in vitro cytotoxicity of methotrexate-branched polypeptide conjugates," <i>Bioconjugate Chemistry</i> , American Chemical Society, 4(1):25-33, 1993.
	C202 ✓	Inoue <i>et al.</i> , "Paclitaxel enhances the effects of the anti-epidermal growth factor receptor monoclonal antibody ImClone C225 in mice with metastatic human bladder transitional cell carcinoma," <i>Clinical Cancer Res.</i> , 6:4874, 4884, 2000.
	C203 ✓	Irie <i>et al.</i> , "Regression of cutaneous metastatic melanoma by intralesional injection with human monoclonal antibody to ganglioside GD2," <i>Proc. Natl. Acad. Sci., USA</i> , 83:8694-8698, 1986.
	C204 ✓	Jeppesen <i>et al.</i> , "Impact of polymer tether length on multiple ligand-receptor bond formation," <i>Science</i> , 293:465-468, 2001.
	C205 ✓	Jurisson <i>et al.</i> , "Potential technetium small molecule radiopharmaceuticals," <i>Chem. Rev.</i> , 99:2205-2218, 1999.
	C206 ✓	Kato and Sugiyama, "Targeted delivery of peptides, proteins, and genes by receptor-mediated endocytosis," <i>Critical Reviews in Therapeutic Drug Carrier Systems</i> , 14(3):287-331, 1997.
	C207 ✓	Kato <i>et al.</i> , "A novel method of conjugation of daunomycin with antibody with a poly-L-glutamic acid- $\alpha$ -fetoprotein antibody-daunomycin conjugate," <i>J. Med. Chem.</i> , 27:1602-1607, 1984.
	C208 ✓	Kitamura <i>et al.</i> , "Chemical engineering of the monoclonal antibody A7 by polyethylene glycol for targeting cancer chemotherapy," <i>Cancer Research</i> , 51:4310-4315, 1991.
	C209 ✓	Klok <i>et al.</i> , "Star-shaped fluorescent polypeptides," <i>Journal of Polymer Science</i> , 39(10):1572-1582, 2001.
	C210 ✓	Kopecek <i>et al.</i> , "Targetable water-soluble polymeric anticancer drugs: achievements and unsolved problems," <i>Proc. Intern. Symp. Conol. Rel. Bioact. Mater.</i> , 20:190-191, 1993.
	C211 ✓	Kopecek <i>et al.</i> , "Targetable polymeric prodrugs," <i>J. Control. Release</i> , 6:315-327, 1987.
	C212 ✓	Kopecek, "The potential of water-soluble polymeric carriers in targeted and site-specific drug delivery," <i>Journal of Controlled Release</i> , 11:279-290, 1990.

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<input checked="" type="checkbox"/>	C213	Lamki, "Radioimmunosintigraphy of cancer: problems, pitfalls, and prospects," <i>Nuclear Medicine Annual 1990</i> , New York, Raven Press Ltd., 113-150, 1990.
<input checked="" type="checkbox"/>	C214	Larson <i>et al.</i> , "Overview of clinical radioimmunodetection of human tumors," <i>Cancer</i> , 73(supp):832-835, 1994.
<input checked="" type="checkbox"/>	C215	Li <i>et al.</i> , "Antitumor activity of poly (L-glutamic acid)-paclitaxel on syngeneic and xenograft tumors," <i>Clinical Cancer Res.</i> , 5:891-897, 1999.
<input checked="" type="checkbox"/>	C216	Li <i>et al.</i> , "Complete regression of well-established tumors using a novel water-soluble poly(L-glutamic acid)-paclitaxel conjugate," <i>Cancer Res.</i> , 58:2404-2409, 1998.
<input checked="" type="checkbox"/>	C217	Li <i>et al.</i> , "Poly(L-glutamic acid)-anticancer drug conjugates," <i>Advanced Drug Delivery Rev.</i> , 54:695-713, 2002.
<input checked="" type="checkbox"/>	C218	Li <i>et al.</i> , "Synthesis and evaluation of water-soluble polyethylene glycol paclitaxel conjugate as a paclitaxel prodrug," <i>Anticancer Drugs</i> , 7(5):642-648, 1996.
<input checked="" type="checkbox"/>	C219	Li <i>et al.</i> , "Synthesis, metal chelate stability studies, and enzyme digestion of a peptide-linked DOTA derivative and its corresponding radiolabeled immunoconjugates," <i>Bioconjugate Chem.</i> , 4:275-283, 1993.
<input checked="" type="checkbox"/>	C220	Liu <i>et al.</i> , "99mTc-labeled small peptides as diagnostic radiopharmaceuticals," <i>Chem. Rev.</i> , 99:2235-2268, 1999.
<input checked="" type="checkbox"/>	C221	Liu <i>et al.</i> , "Bifunctional chelators for therapeutic lanthanide radiopharmaceuticals," <i>Bioconjugate Chemistry</i> , 12:7-34, 2001.
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<input checked="" type="checkbox"/>	C224	Maeda <i>et al.</i> , "Tumorotropic and lymphotropic principles of macromolecular drugs," <i>Crit. Rev. Ther. Drug Carrier Syst.</i> , 6(3):193-210, 1989.
<input checked="" type="checkbox"/>	C225	Maeda, "SMANCS and polymer-conjugated macromolecular drugs: advantages in cancer chemotherapy," <i>Adv. Drug Delivery Rev.</i> , 6(2):181-202, 1991.

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✓	C227	Marti and Risau, "Systematic hypoxia changes the organ-specific distribution of vascular endothelial growth factor and its receptors," <i>Proc. Natl. Acad. Sci., USA</i> , 95:15809-15814, 1998.
✓	C228	Masui <i>et al.</i> , "Growth inhibition of human tumor cells in athymic mice by anti-epidermal growth factor receptor monoclonal antibodies," <i>Cancer Research</i> , 44:1002-1007, 1984.
✓	C229	Mathew <i>et al.</i> , "Synthesis and evaluation of some water-soluble prodrugs and derivatives of taxol with antitumor activity," <i>J. Med. Chem.</i> , 35:145-151, 1992.
✓	C230	Meares <i>et al.</i> , "Macrocyclic chelates of radiometals for diagnosis and therapy," <i>British J. Cancer</i> , 62:21-26, 1990.
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✓	C240	Omelyanenko <i>et al.</i> , "HPMA copolymer-anticancer drug-OV-TL16 antibody conjugates: influence of synthesis on the binding affinity to OVCAR-3 ovarian carcinoma cells in vitro," <i>J. Drug Targeting</i> , 3:357-373, 1996.
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	✓C255	Rihova <i>et al.</i> , "Antiproliferative effect of a lectin- and anti-thy-1.2 antibody-targeted HPMA copolymer-bound doxorubicin on primary and metastatic human colorectal carcinoma and on human colorectal carcinoma transfected with the mouse thy-1.2 gene," <i>Bioconjugate Chemistry</i> , 11(5):664-673, 2000.
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	✓C257	Rosenberg <i>et al.</i> , "Experience with the use of high-dose interleukin-2 in the treatment of 652 cancer patients," <i>Ann. Surg.</i> , 210(4):474-548, 1989.
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✓	C265	Seymour <i>et al.</i> , "Synthetic polymers conjugated to monoclonal antibodies: vehicles for tumor-targeted drug delivery," <i>Select. Cancer Therapeut.</i> , 7(2):59-73, 1991.
✓	C266	Shih <i>et al.</i> , "Anthracycline immunoconjugates prepared by a site-specific linkage via an amino-dextran intermediate carrier," <i>Cancer Res.</i> , 54:4192-4198, 1991.
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✓	C268	Sudimack <i>et al.</i> , "Targeted delivery via folate receptor," <i>Adv. Drug Deliv. Rev.</i> , 41:147-162, 2000.
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	C278 ✓	Wahl <i>et al.</i> , "Loss of normal p53 function confers sensation to taxol by increasing G2/M arrest and apoptosis," <i>Nat. Med.</i> , 2(1):72-79, 1996.
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	✓ C289	Young <i>et al.</i> , "Influence of immunoglobulin heavy and light-chain expression on B-cell differentiation," <i>Genes Develop.</i> , 8:1043-1057, 1994.
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